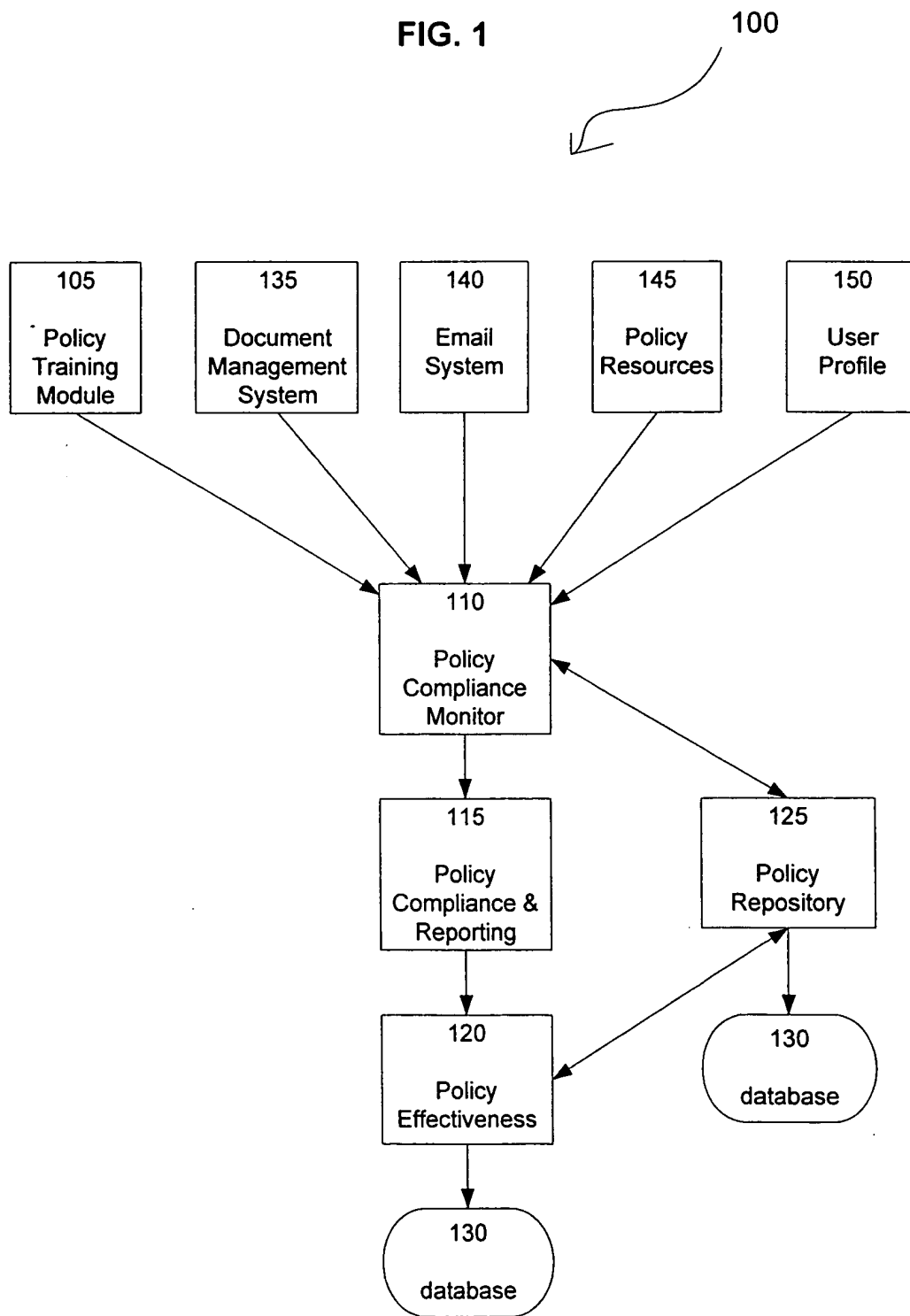


FIG. 1



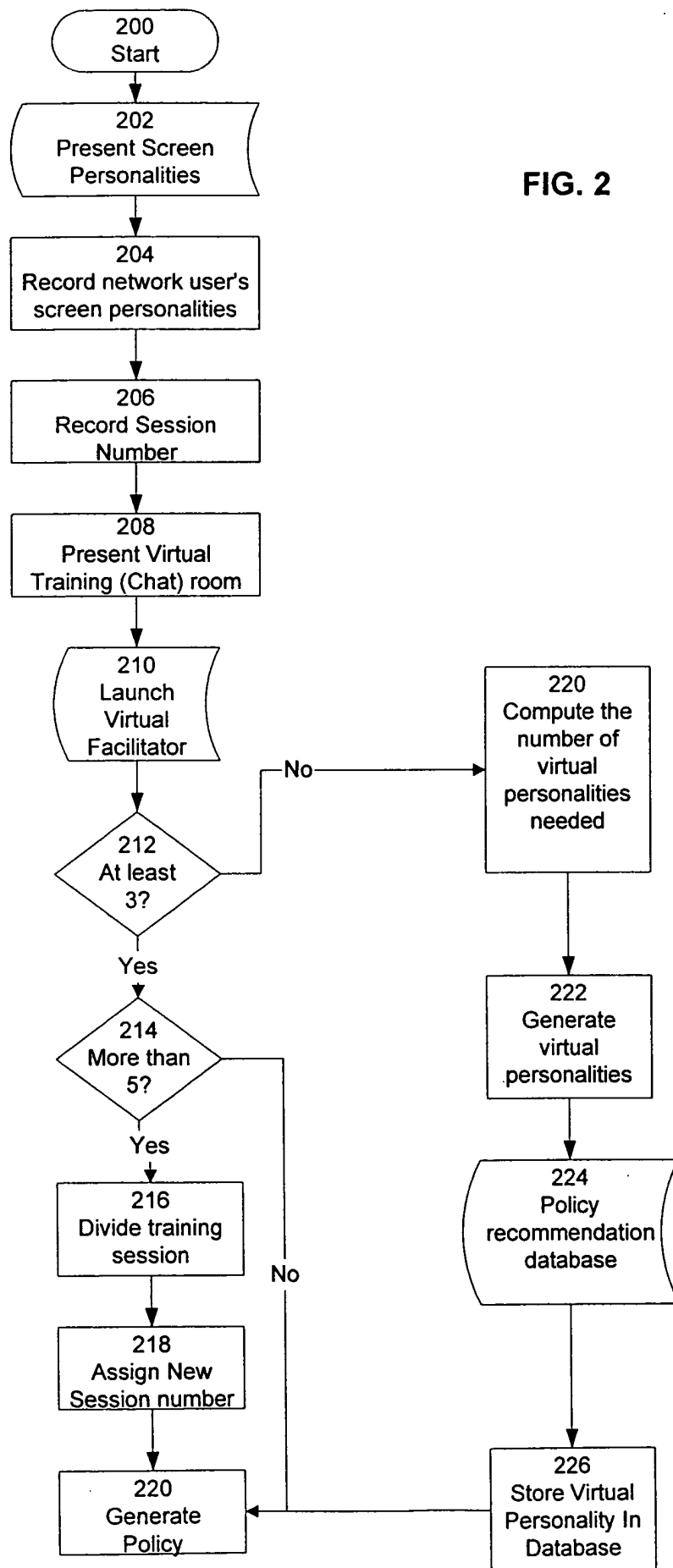


FIG. 2

FIG. 3A

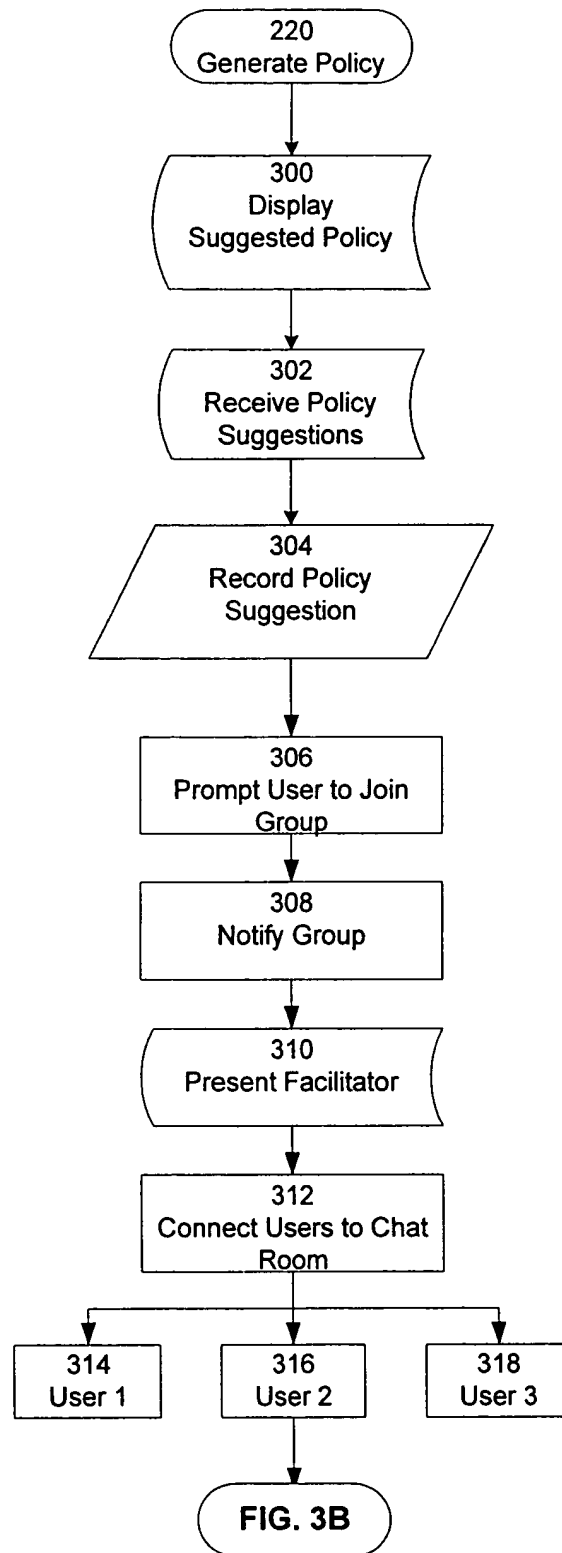


FIG. 3B

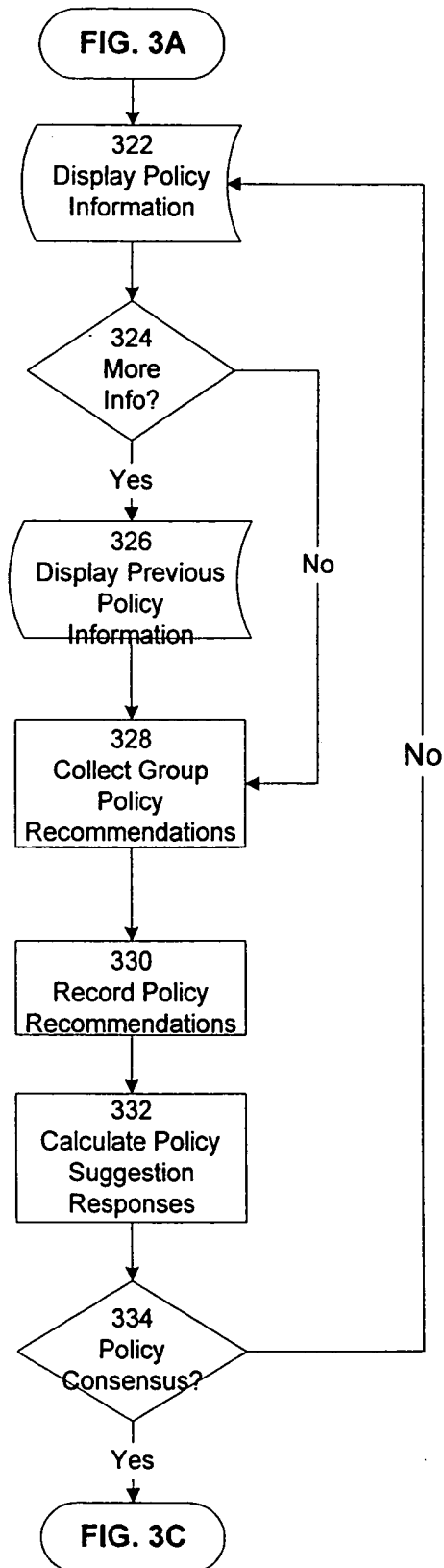


FIG. 3C

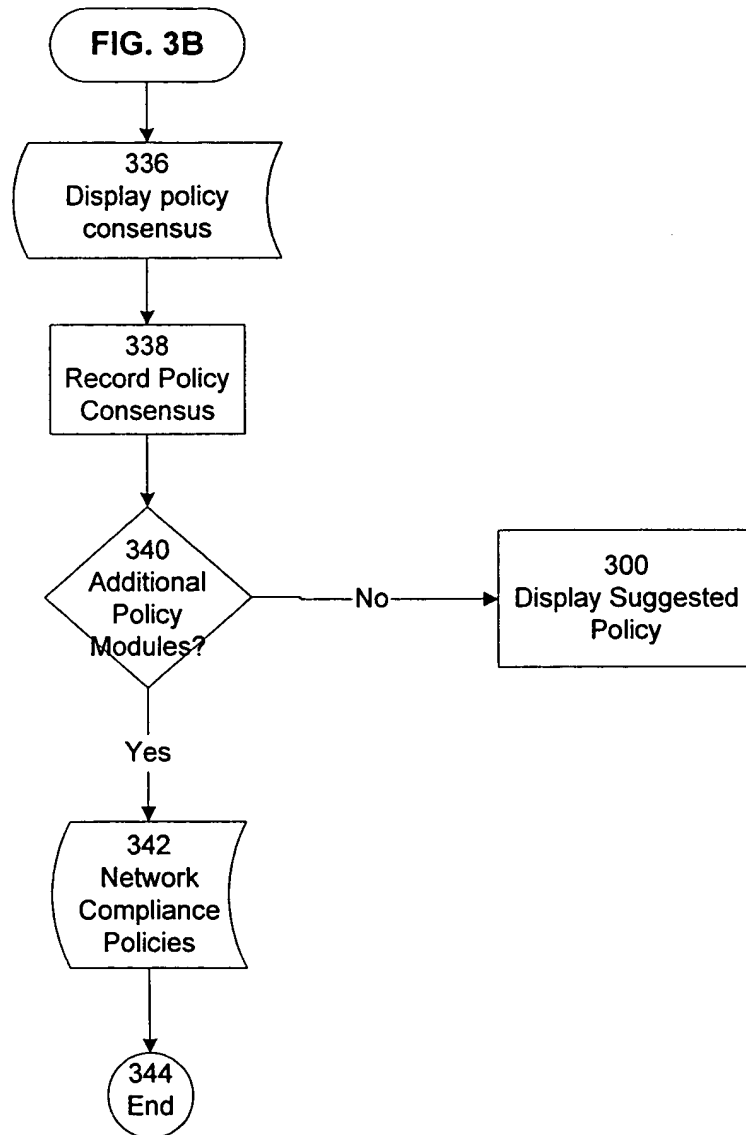


FIG. 4

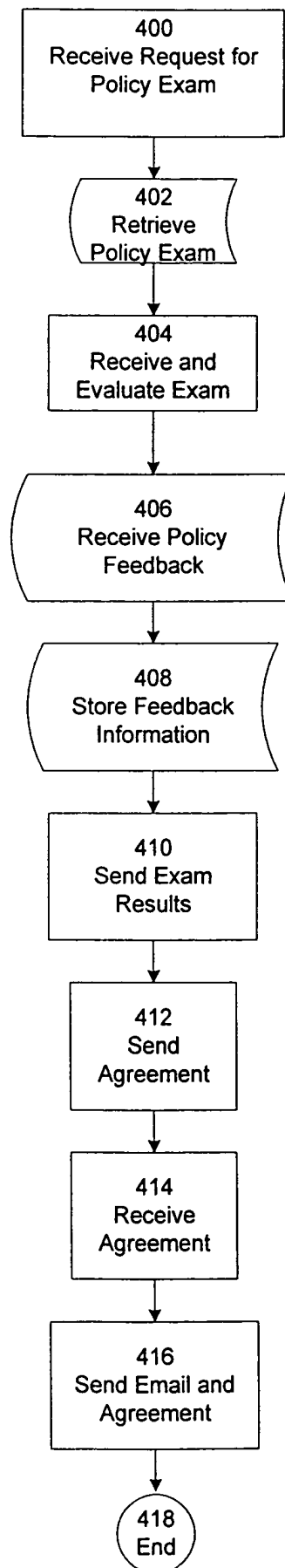


FIG. 5

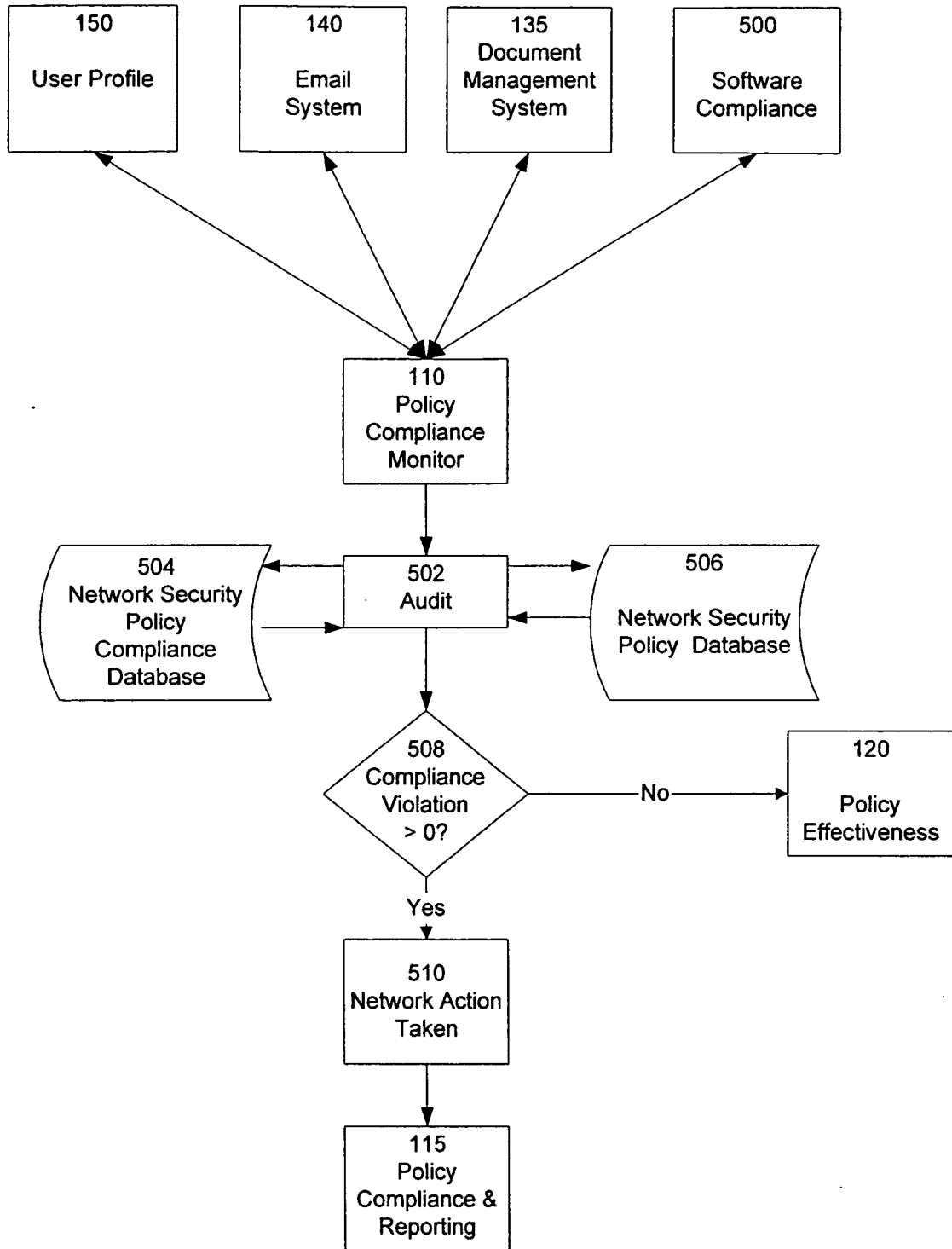


FIG. 6

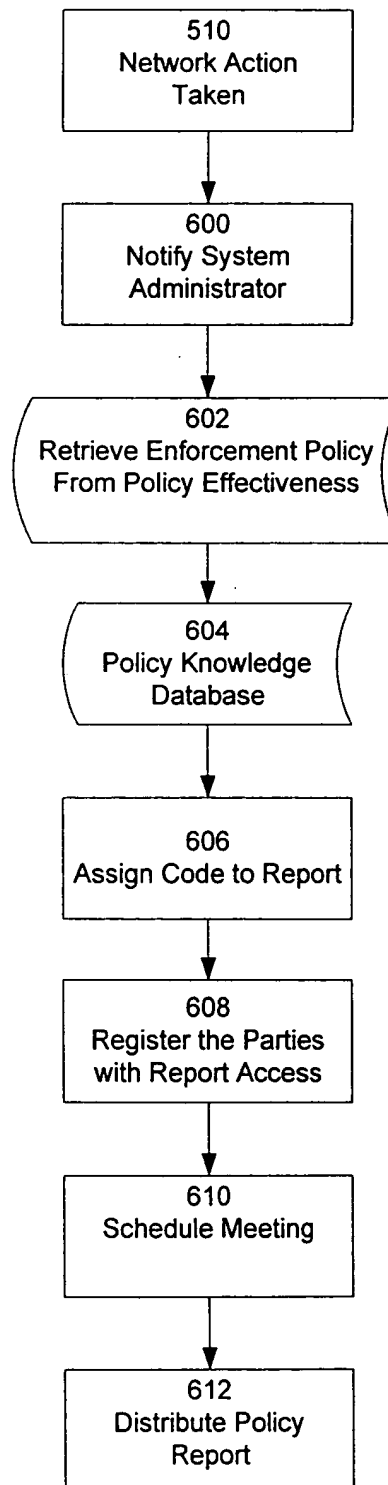


FIG. 7

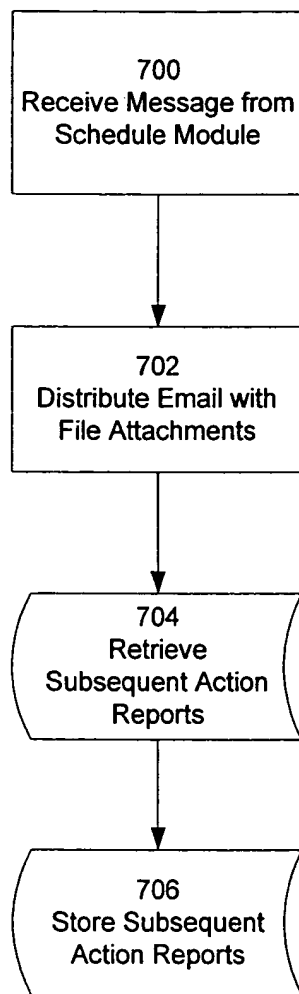


FIG. 8

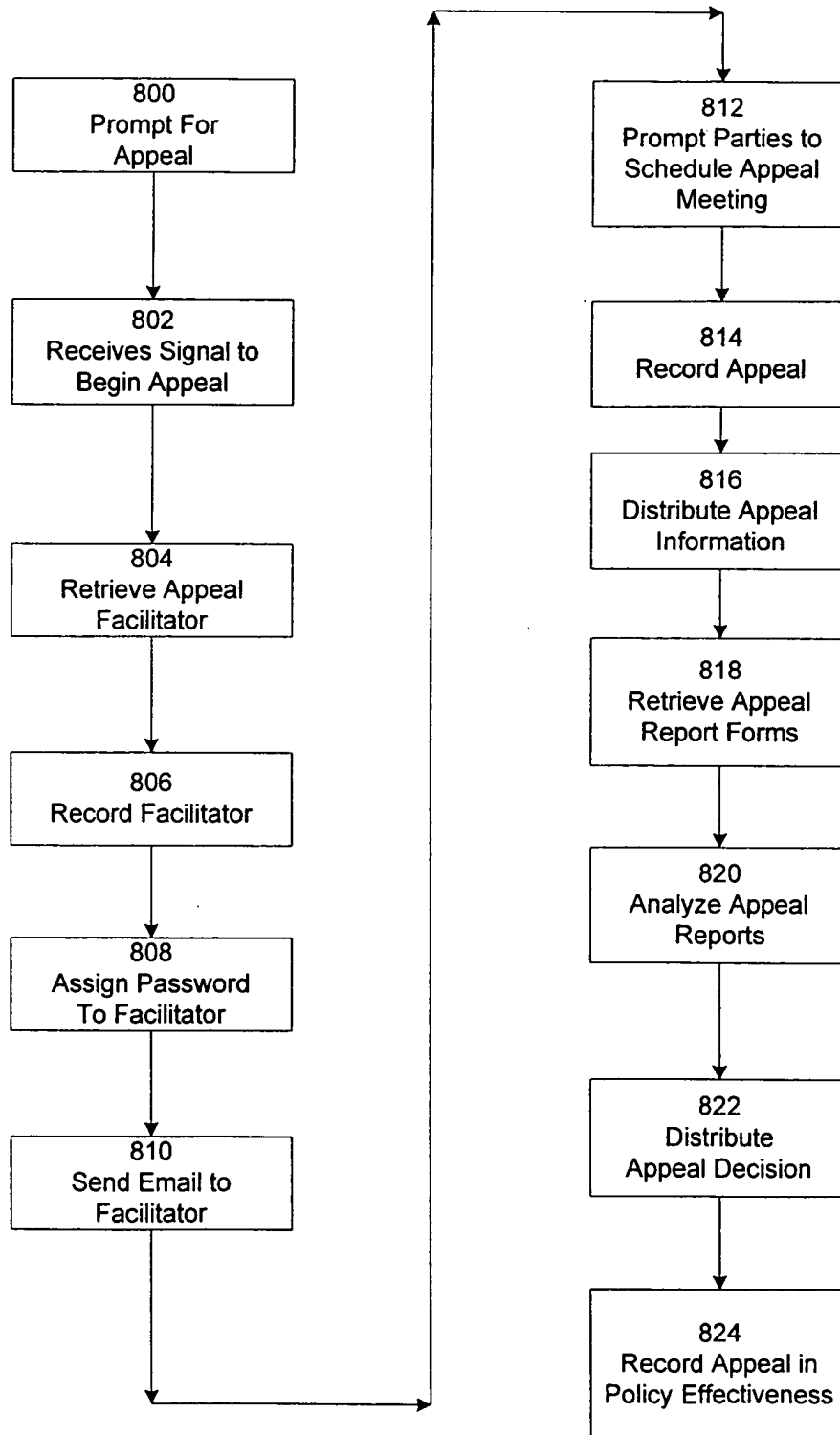


FIG. 9

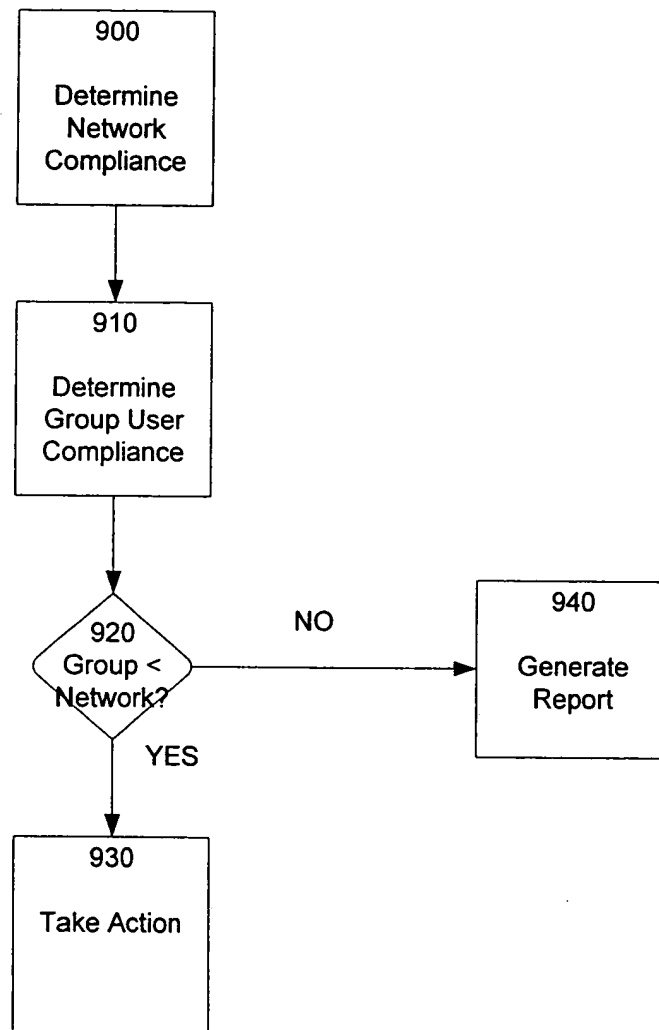


Figure 10

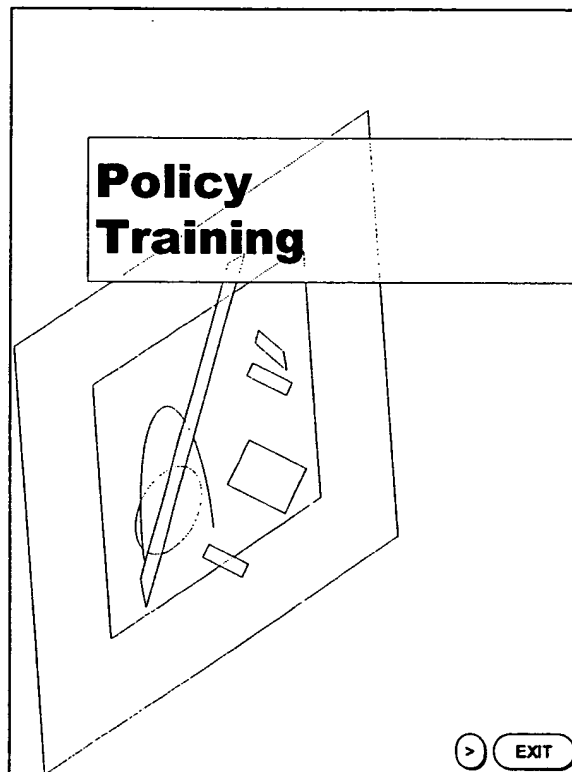


Figure 11

	<h2 style="text-align: center;">Licensing Agreement for Virtual Policy Builder</h2>
	<p>END USER LICENSE AGREEMENT FOR VIRTUAL POLICY BUILDER SOFTWARE - VIRTUAL WORKSPACE. IMPORTANT: READ CAREFULLY: This End User License Agreement ("EULA") is a legal agreement between you (either an individual or a single entity) and the manufacturer ("PC Manufacturer") of the computer system ("COMPUTER") with which you purchased the Virtual Workspace software (hereinafter identified above ("SOFTWARE PRODUCT" or "SOFTWARE"). If the SOFTWARE PRODUCT is not accompanied by a new computer system, you may not use or copy the SOFTWARE PRODUCT. The SOFTWARE PRODUCT includes computer software, the associated media, any printed materials, and any "online" or electronic documentation. By installing, copying or otherwise using the SOFTWARE PRODUCT, you agree to be bound by the terms of this EULA. If you do not agree to the terms of this EULA, PC Manufacturer and Virtual Workspace are unwilling to license the SOFTWARE PRODUCT to you. In such event, you may not use or copy the SOFTWARE PRODUCT, and you should promptly return PC Manufacturer for instructions on return of the unused product(s) for a refund.</p> <p>SOFTWARE PRODUCT LICENSE The SOFTWARE PRODUCT is protected by copyright laws and international copyright treaties, as well as other intellectual property laws and treaties. The SOFTWARE PRODUCT is licensed, not sold.</p> <p>1. GRANT OF LICENSE. This EULA grants you the following rights:</p> <ul style="list-style-type: none"> 1. Software. You may install and use one copy of the SOFTWARE PRODUCT on the COMPUTER. 2. Network Services. If the SOFTWARE PRODUCT includes functionality that enables the COMPUTER to act as a network server, any number of computers or workstations may access or otherwise utilize the basic network services of that server. The basic network services are those fully described in the printed materials accompanying the SOFTWARE PRODUCT. 3. Storage/Network Use. You may also store or install a copy of the computer software portion of the SOFTWARE PRODUCT on the COMPUTER to allow your other computer to use the SOFTWARE PRODUCT over an internet network, and distribute the SOFTWARE PRODUCT to your other computers over an internet network. However, you must ensure and dedicate a license for the SOFTWARE PRODUCT for each computer on which the SOFTWARE PRODUCT is used or to which it is distributed. A license for the SOFTWARE PRODUCT may not be shared or used concurrently on different computers. 4. Operating System Choice. PC Manufacturer may have elected to provide you with a choice of Virtual Workspace operating system software for the COMPUTER. 5. CD-R Back-up Utility. If PC Manufacturer has not included a back-up copy of the SOFTWARE PRODUCT with the COMPUTER, you may use the Virtual Workspace back-up utility, if included with the SOFTWARE PRODUCT, to make a single back-up copy of the SOFTWARE PRODUCT. You may use the back-up copy solely for backup purposes. After the single back-up copy is made, the backup utility will be permanently disabled. <p>2. DESCRIPTION OF OTHER RIGHTS AND LIMITATIONS.</p> <ul style="list-style-type: none"> 1. Limitations on Reverse Engineering, Decompilation and Disassembly. You may not reverse engineer, decompile, or disassemble the SOFTWARE PRODUCT, except and only to the extent that such activity is expressly permitted by applicable law notwithstanding this limitation. 2. Separation of Components. The SOFTWARE PRODUCT is licensed as a single product. Its component parts may not be separated for use on more than one computer. 3. Single COMPUTER. The SOFTWARE PRODUCT is licensed with the COMPUTER as a single integrated product. The SOFTWARE PRODUCT may only be used with the COMPUTER. 4. Resale. You may not rent or lease the SOFTWARE PRODUCT. 5. Software Transfer. You may permanently transfer all of your rights under this EULA only as part of a sale or transfer of the COMPUTER, provided you retain no copies, you transfer all of the SOFTWARE PRODUCT (including all component parts, the media and printed materials, any upgrades, the EULA and, if applicable, the Certificate(s) of Authenticity), AND the recipient agrees to the terms of the EULA. If the SOFTWARE PRODUCT is in upgrade, any transfer must include all prior versions of the SOFTWARE PRODUCT. 6. Termination. Without prejudice to any other rights, Virtual Workspace may terminate this EULA if you fail to comply with the terms and conditions of this EULA. In such event, you must destroy all copies of the SOFTWARE PRODUCT and all of its component parts.

Licensing Agreement for Virtual Policy Builder

Consent

3. **UPGRADE.** If the SOFTWARE PRODUCT is an upgrade from another product, whether from Virtual Workspace or another supplier, you may use or transfer the SOFTWARE PRODUCT only in conjunction with that upgraded product, unless you destroy the upgraded product. If the SOFTWARE PRODUCT is an upgrade of a Virtual Workspace product, you may only use that upgraded product only in accordance with this EULA. If the SOFTWARE PRODUCT is an upgrade of a component of a package of software products which you licensed to a single product, the SOFTWARE PRODUCT may be used and transferred only as part of that single product package and may not be transferred for use on any other computer or other equipment.

4. **OWN COPYRIGHT.** All title and copyrights in and to the SOFTWARE PRODUCT (including but not limited to any images, photographs, animations, video, text, and "look and feel") incorporated into the SOFTWARE PRODUCT, the accompanying printed materials, and any copies of the SOFTWARE PRODUCT, are owned by Virtual Workspace or its suppliers. The SOFTWARE PRODUCT is protected by copyright laws and international treaty provisions. You may not copy the printed materials accompanying the SOFTWARE PRODUCT.

5. **DUAL-MEDIA SOFTWARE.** You may transfer the SOFTWARE PRODUCT in more than one medium. Regardless of the type or size of medium you transfer, you may use only one medium that is appropriate for your single computer. You may not use or transfer the other medium on another computer. You may not rent, lease, or otherwise transfer the other medium to another user, except as part of the permanent transfer (or provision) made of the SOFTWARE PRODUCT.

6. **OWN PRODUCT SUPPORT.** Product support for the SOFTWARE PRODUCT is NOT provided by Virtual Workspace Corporation or its subsidiaries. For product support, please refer to PC Manufacturer's support number provided in the documentation for the COMPUTER. Should you have any questions concerning this EULA, or if you desire to contact PC Manufacturer for any other reason, please refer to the address provided in the documentation for the COMPUTER.

7. **OWN U.S. GOVERNMENT RESTRICTED RIGHTS.** The SOFTWARE PRODUCT and documentation are provided with RESTRICTED RIGHTS. Use, duplication, or disclosure by the Government is subject to restrictions as set forth in subparagraph (c)(1)(ii) of the Rights in Technical Data and Computer Software clause of DFARS 23.227-7013 or subparagraph (c)(1) and (2) of the Commercial Computer Software Restricted Rights clause at 48 CFR 23.227-19, as applicable. Manufacturer is Virtual Workspace Corporation/254 Kent Hill Street, Suite 4100B, Portland, ME 04106.

FOR THE LIMITED WARRANTIES AND SPECIAL PROVISIONS PERTAINING TO YOUR PARTICULAR JURISDICTION, PLEASE REFER TO YOUR WARRANTY BOOKLET INCLUDED WITH THIS PACKAGE OR PROVIDED WITH THE SOFTWARE PRODUCT PRINTED MATERIALS.

Please indicate your acceptance of the software licensing agreement by clicking on the accept icon. If you disagree with the terms of the agreement, click the decline icon.

(Accept) (Decline)

< > MAIN MENU EXIT

Figure 13


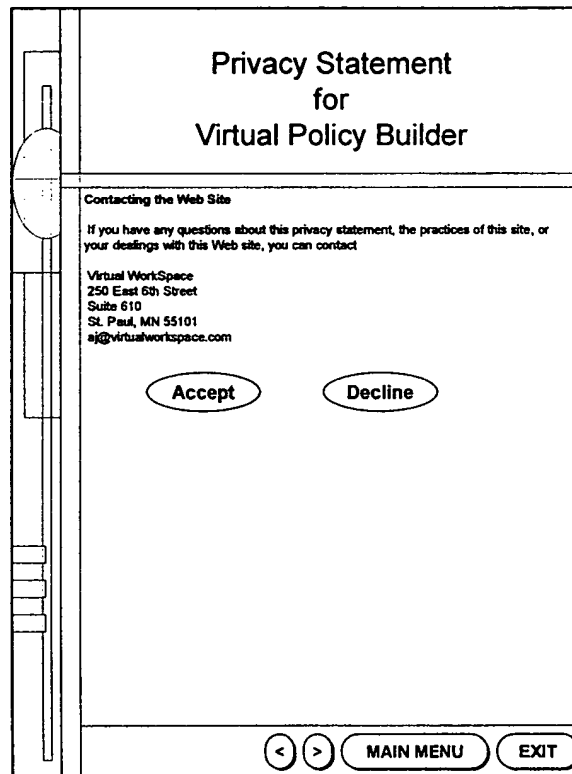
Privacy Statement for Virtual Policy Builder	
	<p>Virtual WorkSpace has created this privacy statement in order to demonstrate our firm commitment to privacy. The following discloses our information gathering and dissemination practices for this site, Virtual Policy Builder.</p>
	<p>Your IP address is used to help identify you and your shopping cart.</p>
	<p>Our site's registration form requires users to give us contact information (like their email address) and demographic information (like their zip code, age, or income level). The customer's contact information is used to contact the visitor when necessary. Users may opt-out of receiving future mailings; see the delete/deactivate section below. Demographic and profile data is also collected at our site. We use this data to tailor the visitor's experience at our site, showing them content that we think they might be interested in, and displaying the content according to their preferences. Financial information (like their account or credit card numbers) is collected is used to bill the user for products and services.</p>
	<p>Opt-Out</p> <p>Our site provides users the opportunity to opt-out of receiving communications from us at the point where we request information about the visitor.</p>
	<p>Delete/Deactivate</p> <p>This site gives users the following options for removing their information from our database to not receive future communications or to no longer receive our service. You can send email to delete@virtualworkspace.com</p> <p>Change/Modify</p> <p>This site gives users the following options for changing and modifying information previously provided. Email update@virtualworkspace.com</p>
<div>< > MAIN MENU EXIT</div>	

Figure 14



The image shows a screenshot of a computer screen displaying a privacy statement. The window has a title bar at the top with the text "Privacy Statement for Virtual Policy Builder". Below the title bar, the text "Contacting the Web Site" is followed by a paragraph: "If you have any questions about this privacy statement, the practices of this site, or your dealings with this Web site, you can contact". Below this paragraph, the contact information for Virtual WorkSpace is listed: "Virtual WorkSpace", "250 East 6th Street", "Suite 610", "St. Paul, MN 55101", and "aj@virtualworkspace.com". At the bottom of the main content area, there are two oval buttons labeled "Accept" and "Decline". At the very bottom of the window, there is a navigation bar with four buttons: a left arrow, a right arrow, "MAIN MENU", and "EXIT".

**Privacy Statement
for
Virtual Policy Builder**

Contacting the Web Site

If you have any questions about this privacy statement, the practices of this site, or your dealings with this Web site, you can contact

Virtual WorkSpace
250 East 6th Street
Suite 610
St. Paul, MN 55101
aj@virtualworkspace.com

Accept **Decline**

< > MAIN MENU EXIT

Figure 15

Choosing a Screen Identity

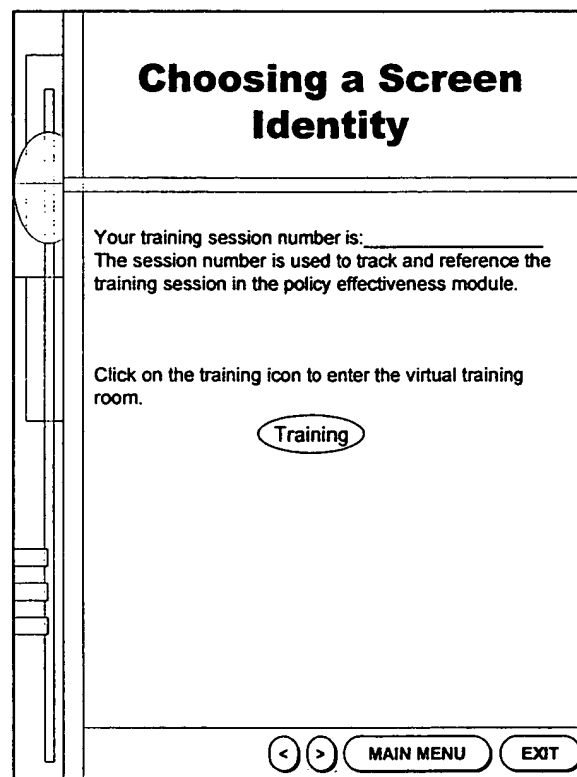
Choose a screen name and identity for the training session by clicking on the screen name listed below

Screen Names:

- Sasha: the warrior princess
- Alvin: the truck driver
- Josh: the surfer dude
- William: the investment banker
- Alice: the domestic engineer

< > MAIN MENU EXIT

Figure 16



Choosing a Screen Identity

Your training session number is: _____
The session number is used to track and reference the training session in the policy effectiveness module.

Click on the training icon to enter the virtual training room.

Training

< > MAIN MENU EXIT

The image is a screenshot of a computer interface. On the left side, there is a vertical toolbar with several icons, including a magnifying glass and a list of small rectangular buttons. The main area of the screen has a title 'Choosing a Screen Identity' at the top. Below the title, there is a text prompt asking for a training session number, followed by an explanation of its use. A 'Training' button is centered below the text. At the bottom of the screen, there is a navigation bar with four buttons: a left arrow, a right arrow, 'MAIN MENU', and 'EXIT'.

Figure 17





Policy Suggestion

Desktop Piracy

Suggested Policy: To comply with laws governing software protection from piracy employees must not:

- Make copies of any software unless explicitly authorized.
- Exchange, trade or transfer copies of any software to others in cyberspace.
- Download copies of software that normally would have to be purchased.
- Purchase any software from the Internet without prior approval

If you encounter pirated software or suspect software may have been pirated, notify the system administrator immediately and distance yourself from the real or suspected illegal activity.

Premise: Expect different people to have different standards. They are not better, not worse - simply different.

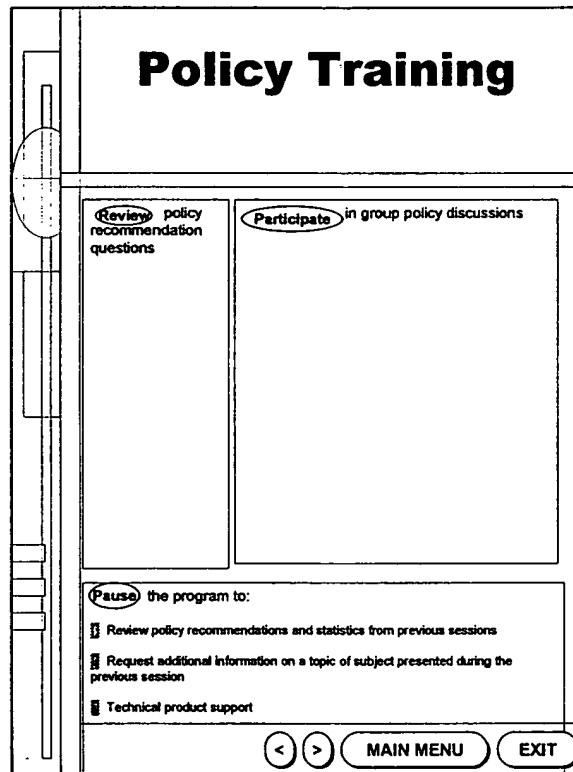
Principle: The principle of present choices states that current decisions tend to limit future action. This means that most important decisions affect two timeframes. The short-term result may be a benefit but the long-term result can be either a benefit or, as often happens, a consequence.

Do you agree or disagree with the suggested policy?

What changes would you make to the suggested policy?

Submit Pause Exit Menu Stats Support

Figure 19



The image shows a menu screen for a program titled "Policy Training". The screen is divided into several sections. At the top, the title "Policy Training" is displayed in a large, bold font. Below the title, there are two main options: "Review policy recommendation questions" and "Participate in group policy discussions". The "Review" option is circled. Below these options, there is a section titled "Pause the program to:" which lists three sub-options: "Review policy recommendations and statistics from previous sessions", "Request additional information on a topic of subject presented during the previous session", and "Technical product support". At the bottom of the screen, there are navigation buttons: a left arrow, a right arrow, a "MAIN MENU" button, and an "EXIT" button.

Policy Training

Review policy recommendation questions

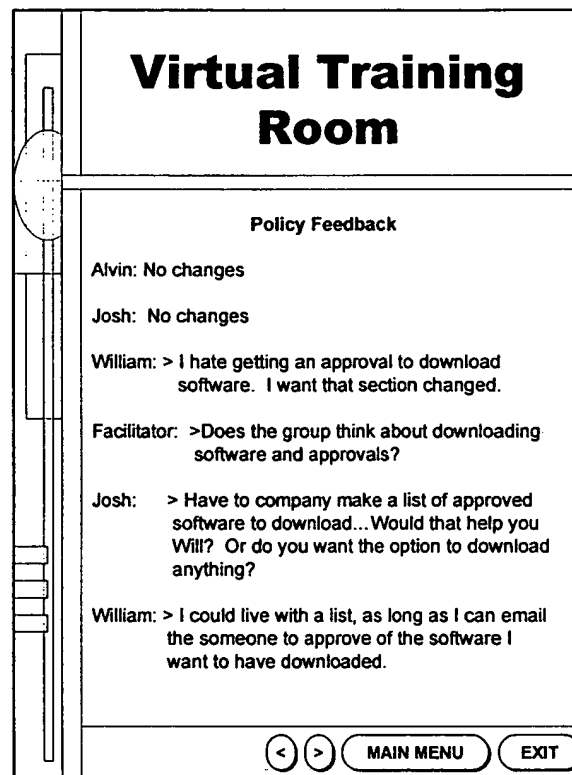
Participate in group policy discussions

Pause the program to:

- Review policy recommendations and statistics from previous sessions
- Request additional information on a topic of subject presented during the previous session
- Technical product support

< > MAIN MENU EXIT

Figure 20



Virtual Training Room

Policy Feedback

Alvin: No changes

Josh: No changes

William: > I hate getting an approval to download software. I want that section changed.

Facilitator: >Does the group think about downloading software and approvals?

Josh: > Have to company make a list of approved software to download...Would that help you Will? Or do you want the option to download anything?

William: > I could live with a list, as long as I can email the someone to approve of the software I want to have downloaded.

< > MAIN MENU EXIT

Figure 21

The screenshot shows a software window titled "Writing the Policy". On the left is a vertical sidebar with a scroll bar and several rectangular buttons. The main area contains the following text:

Suggested Policy: To comply with laws governing software protection from piracy employees must not:

- Make copies of any software unless explicitly authorized.
- Exchange, trade or transfer copies of any software to others in cyberspace.
- Download copies of software that normally would have to be purchased.
- Purchase any software from the Internet without prior approval

If you encounter pirated software or suspect software may have been pirated, notify the system administrator immediately and distance yourself from the real or suspected illegal activity.

Facilitator: If I am correct, you want this section added to the policy?
Add>>> All software downloads can be approved by the system administrator. The user needs to email the system administrator to get approval for downloading the software.

At the bottom of the window are four buttons: a left arrow, a right arrow, "MAIN MENU", and "EXIT".

Figure 22

Vote on a Policy Recommendation

To comply with laws governing software protection from piracy employees must not:

- Make copies of any software unless explicitly authorized.
- Exchange, trade or transfer copies of any software to others in cyberspace.
- Download copies of software that normally would have to be purchased.
- All software downloads can be approved by the system administrator. All network user needs to email the system administrator to get approval before downloading the software.
- Purchase any software from the Internet without prior approval.

If you encounter pirated software or suspect software may have been pirated, notify the system administrator immediately and distance yourself from the real or suspected illegal activity.

Do you agree or disagree with the policy?

☐ Agree ☐ Disagree

< > MAIN MENU EXIT

Figure 23

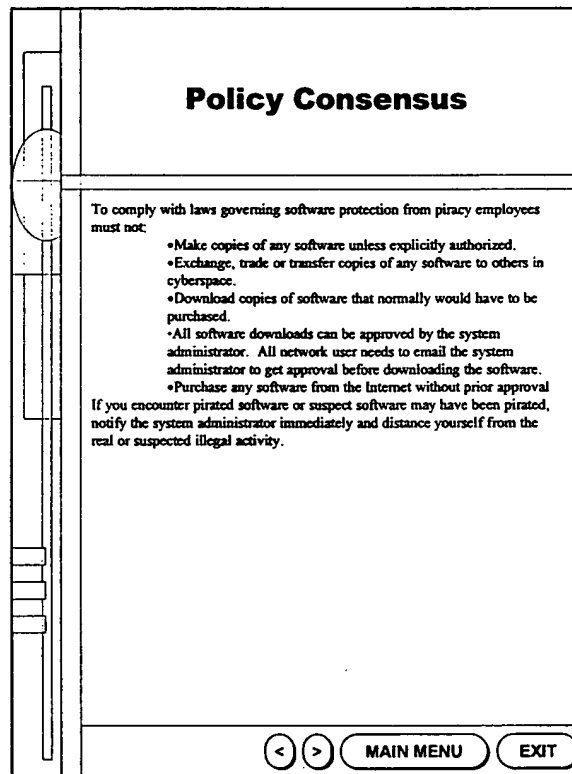


Figure 24

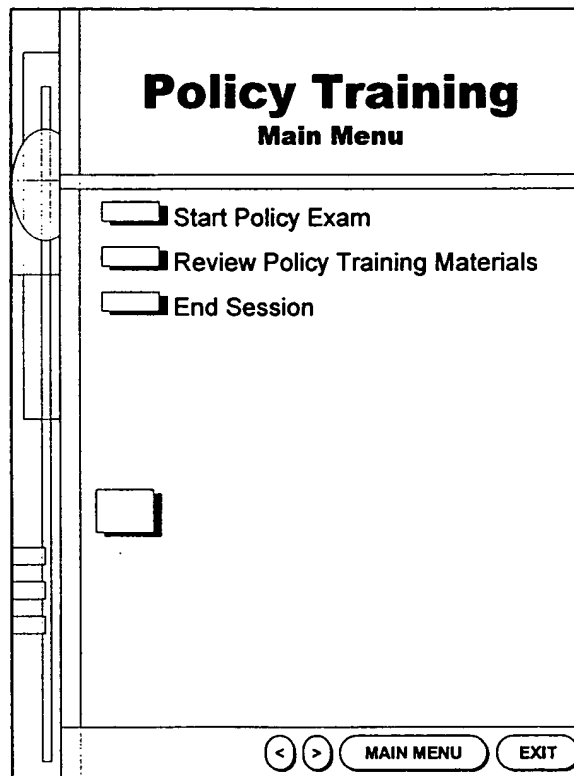


Figure 25

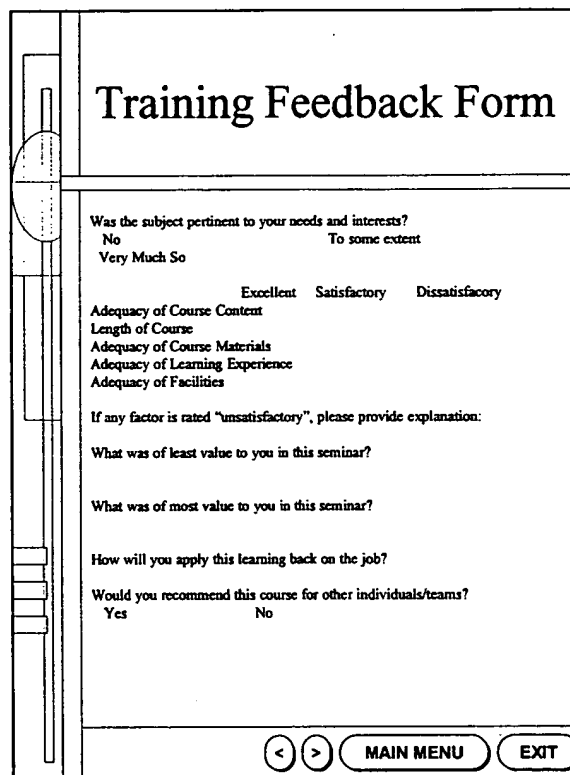
Policy Training Exam

What is spam?

- ☐ A slang term for an electronic contract
- ☐ A luncheon meat
- ☐ A slang term for junk e-mail
- ☐ A term used for downloading files from the web

< > MAIN MENU EXIT

Figure 26



The image shows a graphical user interface for a 'Training Feedback Form'. On the left side, there is a vertical navigation bar with a circular button at the top and several rectangular buttons below it. The main content area is titled 'Training Feedback Form' in a large, bold font. Below the title, there are several sections of text and input fields. The first section asks 'Was the subject pertinent to your needs and interests?' with radio buttons for 'No', 'To some extent', and 'Very Much So'. The second section lists five factors: 'Adequacy of Course Content', 'Length of Course', 'Adequacy of Course Materials', 'Adequacy of Learning Experience', and 'Adequacy of Facilities'. Each factor has three radio buttons labeled 'Excellent', 'Satisfactory', and 'Dissatisfactory'. Below these lists, there is a prompt: 'If any factor is rated "unsatisfactory", please provide explanation:'. This is followed by two text input fields with labels 'What was of least value to you in this seminar?' and 'What was of most value to you in this seminar?'. Then, there is another text input field with the label 'How will you apply this learning back on the job?'. The final section asks 'Would you recommend this course for other individuals/teams?' with radio buttons for 'Yes' and 'No'. At the bottom right of the form, there are three buttons: a left arrow, a right arrow, and a button labeled 'MAIN MENU'. To the right of 'MAIN MENU' is a button labeled 'EXIT'.

Training Feedback Form

Was the subject pertinent to your needs and interests?
No To some extent
Very Much So

Excellent Satisfactory Dissatisfactory

Adequacy of Course Content
Length of Course
Adequacy of Course Materials
Adequacy of Learning Experience
Adequacy of Facilities

If any factor is rated "unsatisfactory", please provide explanation:

What was of least value to you in this seminar?

What was of most value to you in this seminar?

How will you apply this learning back on the job?

Would you recommend this course for other individuals/teams?
Yes No

< > MAIN MENU EXIT

Figure 27


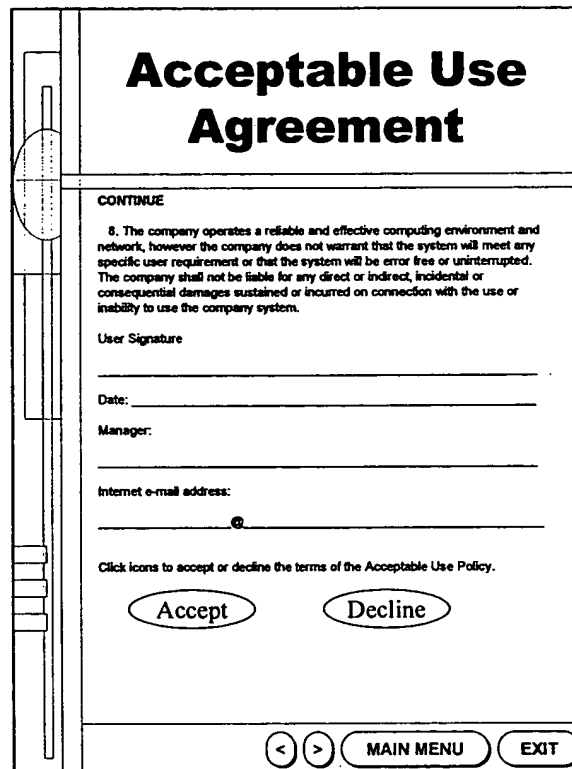
	<h2>Acceptable Use Agreement</h2>
	<p>This agreement is between the employee and the user indicated below.</p>
	<p>The user agrees to the following:</p> <ol style="list-style-type: none">1. All information stored on the company system is for educational, instructional or administrative purposes. All data stored on the company computer will be suitable for all audiences and shall not violate personnel privacy.2. Use of the computer system for commercial purposes is prohibited.3. User accounts which are issued for the purpose of making the organizational (county, program, etc.) Web site will have a designated primary user who is responsible for controlling access to the account. The primary user will not share his/her login ID and password with anyone outside the organizational unit, and will change the password regularly.4. The company server(s) system is an electronic community. Users are community members and as such must be considerate of other users. Thus, users will attend to their own files and directories and leave others alone. Users shall inform the system administrator, or the Manager if a problem arises with your account or the server(s).5. Users will be good stewards of the electronic environment and will not waste space, computing power or other user's time.6. Because this is an educational community, there are many children who have access to materials on the system. Users have a responsibility to ensure a nurturing environment for our children. Consequently, users will neither store nor transmit obscene, abusive or otherwise objectionable material on the system. Such actions will result in prompt termination of system privileges.7. The company reserves the right to review any material stored on the system and will remove any material which it believes violates an element of this agreement.
<div>< > MAIN MENU EXIT</div>	

Figure 28



The image shows a computer screen with a window titled "Acceptable Use Agreement". The window has a title bar and a menu bar. The main content area contains the following text:

Acceptable Use Agreement

CONTINUE

8. The company operates a reliable and effective computing environment and network, however the company does not warrant that the system will meet any specific user requirement or that the system will be error free or uninterrupted. The company shall not be liable for any direct or indirect, incidental or consequential damages sustained or incurred on connection with the use or inability to use the company system.

User Signature _____

Date: _____

Manager: _____

Internet e-mail address: _____

Click icons to accept or decline the terms of the Acceptable Use Policy.

At the bottom of the window, there are four buttons: "<", ">", "MAIN MENU", and "EXIT".

Figure 29

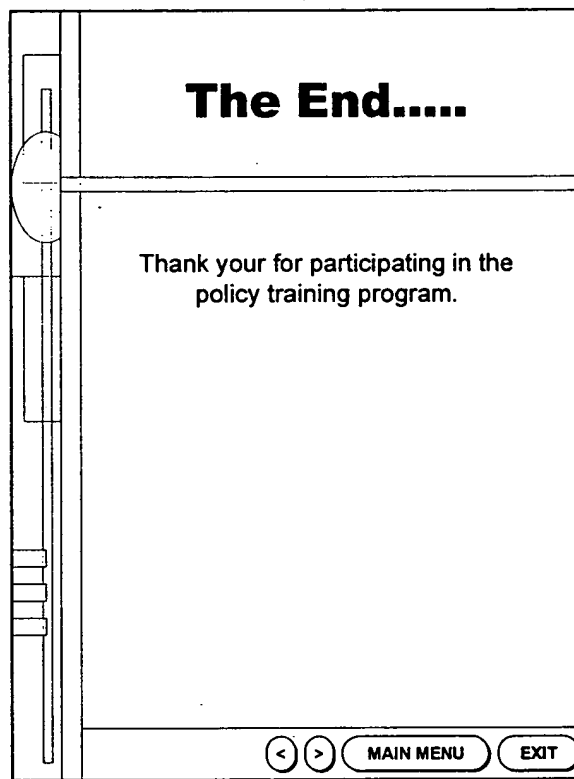


Figure 30

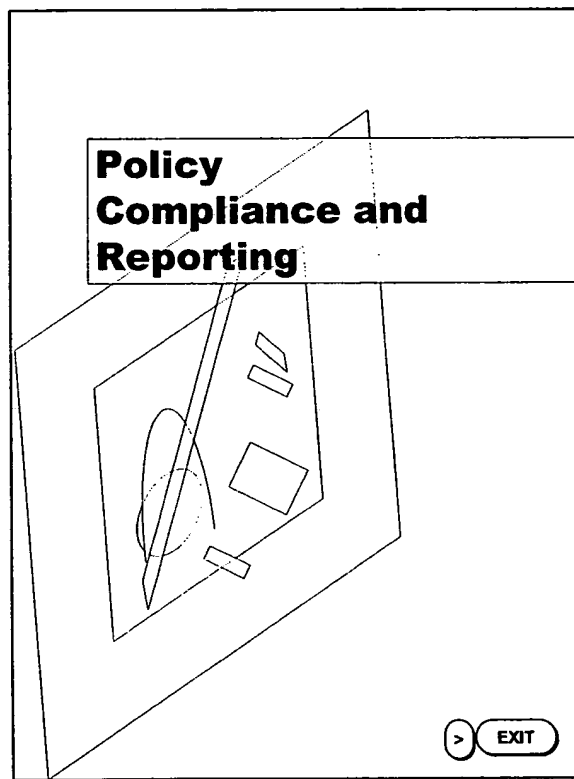
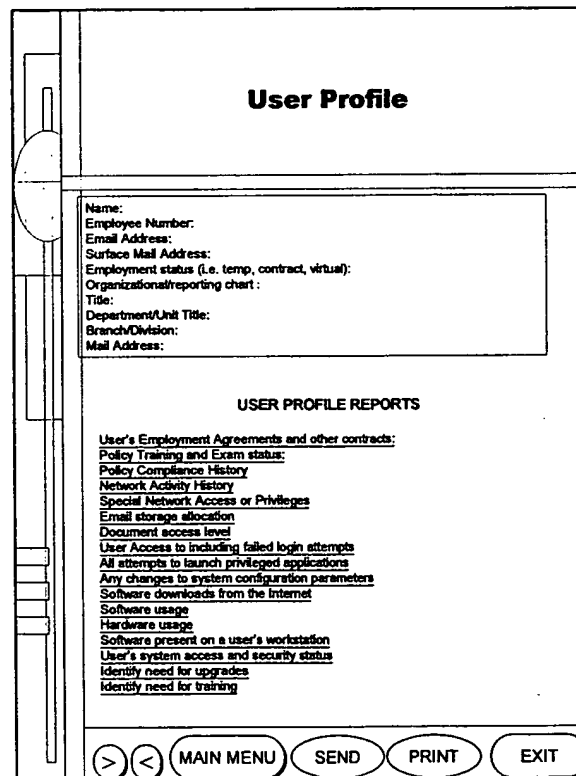


Figure 31



The image shows a terminal window titled "User Profile". On the left is a vertical sidebar with a circular icon and several rectangular buttons. The main area is divided into two sections. The top section contains a list of user attributes: Name, Employee Number, Email Address, Surface Mail Address, Employment status (with a note "i.e. temp, contract, virtual"), Organizational/reporting chart, Title, Department/Unit Title, Branch/Division, and Mail Address. The bottom section is titled "USER PROFILE REPORTS" and lists various system logs and reports, many of which are underlined. At the bottom of the screen is a navigation bar with five buttons: "><", "MAIN MENU", "SEND", "PRINT", and "EXIT".

User Profile

Name:
Employee Number:
Email Address:
Surface Mail Address:
Employment status (i.e. temp, contract, virtual):
Organizational/reporting chart:
Title:
Department/Unit Title:
Branch/Division:
Mail Address:

USER PROFILE REPORTS

User's Employment Agreements and other contracts:
Policy Training and Exam status:
Policy Compliance History
Network Activity History
Special Network Access or Privileges
Email storage allocation
Document access level
User Access to including failed login attempts
All attempts to launch privileged applications
Any changes to system configuration parameters
Software downloads from the Internet
Software usage
Hardware usage
Software present on a user's workstation
User's system access and security status
Identify need for upgrades
Identify need for training

>< MAIN MENU SEND PRINT EXIT

Figure 32

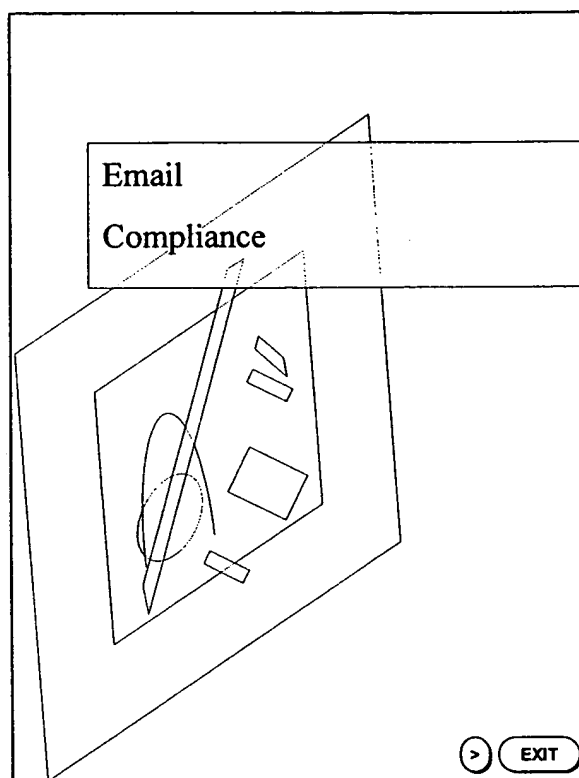


Figure 33

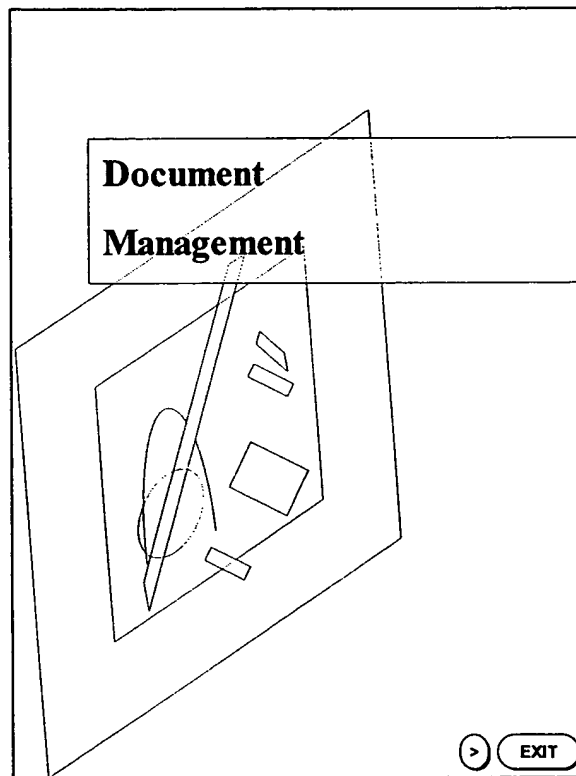


Figure 34

Software Compliance	
REPORTS	
<u>User access including failed login attempts</u>	
<u>All attempts to launch privileged applications</u>	
<u>Any changes to system configuration parameters</u>	
<u>Software downloads from the Internet</u>	
<u>Software usage</u>	
<u>Hardware usage</u>	
<u>Location of software</u>	
<u>Location of software license agreements</u>	
<u>Type of software agreements</u>	
<u>Coordination of software license agreements with software utilization</u>	
<u>Provide statistical and graphical justification for software purchases, upgrades and maintenance expense</u>	
<u>Software installations</u>	
<u>Software compliance</u>	
<u>Appropriateness, inappropriateness and excessive use of software, hardware resources throughout the enterprise.</u>	
<u>Number of people waiting for access to software application(s)</u>	
<u>Access time</u>	
<u>Value of software being used at anytime</u>	
<u>Identify need for upgrades</u>	
<u>Identify need for training</u>	
<u>Projections for hardware, software and licensing costs/usage throughout the enterprise</u>	
<u>Predict hardware demand</u>	
<u>Re-route software and hardware as indicated</u>	
<u>Personally installed or permitted software installation</u>	
<u>Utilization of system resources</u>	
<u>Identify potential policy infringements</u>	
<u>Identify system trends per department use</u>	
<u>Allocation of related costs related to department</u>	
<div><div>></div><div><</div><div>MAIN MENU</div><div>SEND</div><div>PRINT</div><div>EXIT</div></div>	

Figure 35

The screenshot shows a graphical user interface for an 'Audit' function. On the left is a vertical sidebar with a circular icon and several rectangular buttons. The main area is divided into sections: a header 'Audit', an email header section, an 'Audit Results' box, and a bottom navigation bar.

Audit

To: PolAdm@Virt.vom
From: Sys@virt.com
RE: Audit Reminder
Branch Location: Minneapolis
Time: 11:20 a.m.
Date: May 20, 1998
CC: Policyeffect@virt.com
PolAdm@virt.com
Lan@virt.com

Audit Results

Violations:
Discrepancies:c

Click on the report icon to complete policy violation report. d

Report

> < MAIN MENU SEND PRINT EXIT

Figure 36

Network Policy Compliance Notice

Reference Number: 985h34

Posted-Date: Mon, 20 May 1998 18:17:36 -0500 (CDT)

To: Jane.Doe@virt.com

From: PolicyAdm @virt.com

Subject: Violation Notice

Network Non-Compliance Notice

Name:

Email Address:

Title:

Department/Unit Title:

Branch/Division:

Mail Address:

Violation:

Violation History: ([hyperlink](#))

>

<

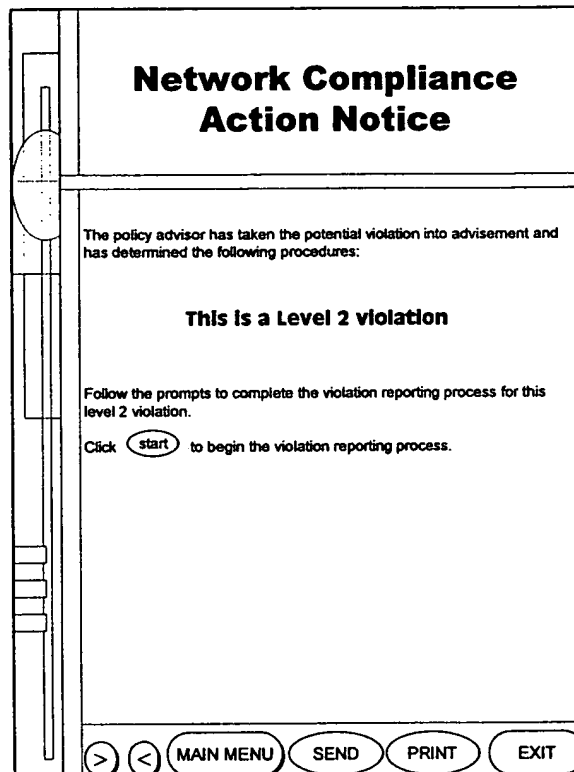
MAIN MENU

SEND

PRINT

EXIT

Figure 37



**Network Compliance
Action Notice**

The policy advisor has taken the potential violation into advisement and has determined the following procedures:

This Is a Level 2 violation

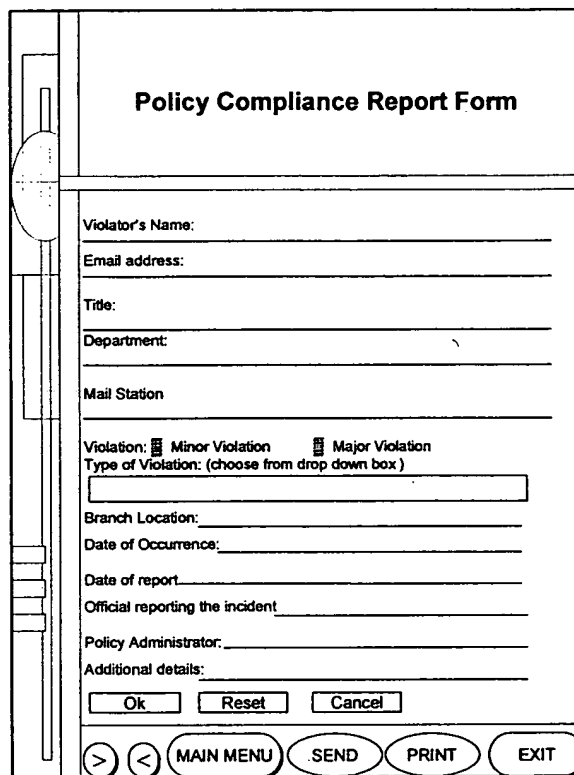
Follow the prompts to complete the violation reporting process for this level 2 violation.

Click **start** to begin the violation reporting process.

> < MAIN MENU SEND PRINT EXIT

The image shows a screen titled "Network Compliance Action Notice". It contains a message about a potential violation being taken into advisement, followed by a bold heading "This Is a Level 2 violation". Below this, it instructs the user to follow prompts to complete the violation reporting process. A specific instruction says "Click start to begin the violation reporting process." At the bottom of the screen is a navigation bar with buttons: ">", "<", "MAIN MENU", "SEND", "PRINT", and "EXIT".

Figure 38



The form is titled "Policy Compliance Report Form" and is designed for data entry. It features a vertical sidebar on the left with a circular icon and several rectangular buttons. The main form area contains the following fields and controls:

- Violator's Name:** A text input field.
- Email address:** A text input field.
- Title:** A text input field.
- Department:** A text input field.
- Mail Station:** A text input field.
- Violation:** A section with two radio buttons labeled "Minor Violation" and "Major Violation".
- Type of Violation:** A label followed by "(choose from drop down box)" and a corresponding dropdown menu.
- Branch Location:** A text input field.
- Date of Occurrence:** A text input field.
- Date of report:** A text input field.
- Official reporting the incident:** A text input field.
- Policy Administrator:** A text input field.
- Additional details:** A text input field.
- Buttons:** Three rectangular buttons labeled "Ok", "Reset", and "Cancel" are positioned below the "Additional details" field.
- Footer:** A row of five oval buttons labeled ">", "<", "MAIN MENU", "SEND", and "PRINT".
- Exit:** A rectangular button labeled "EXIT" is located at the bottom right of the form.

Figure 39

**Network Compliance
Action Notice**

The policy advisor has taken the potential violation into advisement and has determined the following procedures:

This is a Level 2 violation

Follow the prompts to complete the violation reporting process for this level 2 violation.

Click **start** to begin the violation reporting process.

> < MAIN MENU SEND PRINT EXIT

Figure 40

Policy Knowledge Query

Name: _____

Violation: ☐ Minor Violation ☐ Major Violation
Type of Violation: (choose from drop down box)

Branch Location: _____

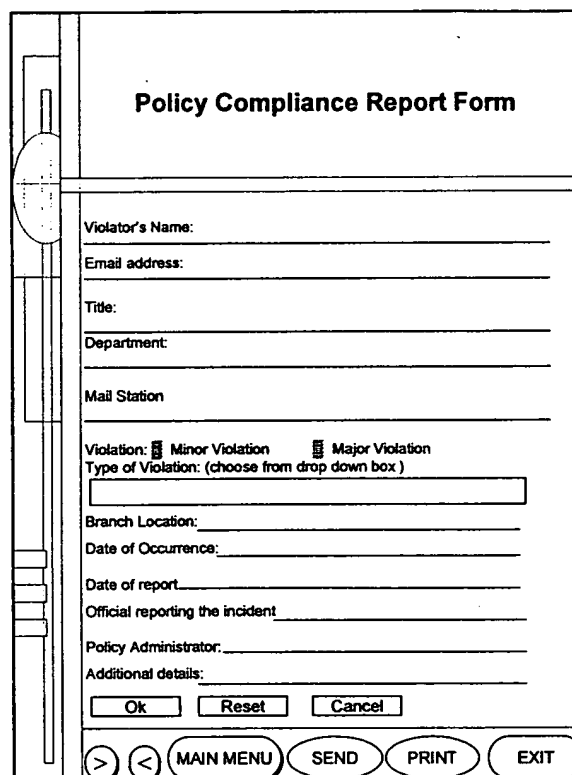
Date: _____

Policy Administrator: _____

Additional details: _____

USER HELP Click icon for more information on how to respond to a violation report.

Figure 41



The image shows a graphical user interface for a 'Policy Compliance Report Form'. The form is contained within a window with a vertical toolbar on the left side. The toolbar includes a circular icon at the top, followed by several rectangular icons, and a set of four circular navigation buttons at the bottom: a right arrow, a left arrow, 'MAIN MENU', 'SEND', 'PRINT', and 'EXIT'. The form itself has a title bar at the top that reads 'Policy Compliance Report Form'. Below the title bar, there are several input fields: 'Violator's Name:', 'Email address:', 'Title:', 'Department:', and 'Mail Station'. Each of these fields has a corresponding horizontal line for text entry. Below these fields, there are two radio buttons for 'Violation:'. The first is labeled 'Minor Violation' and is selected. The second is labeled 'Major Violation'. Below the radio buttons, there is a text label 'Type of Violation: (choose from drop down box)' followed by a rectangular drop-down menu box. Further down, there are more input fields: 'Branch Location:', 'Date of Occurrence:', 'Date of report:', 'Official reporting the incident', and 'Policy Administrator:'. Each of these fields has a corresponding horizontal line for text entry. At the bottom of the form, there is a text label 'Additional details:' followed by a horizontal line. Below the 'Additional details' line, there are three buttons: 'Ok', 'Reset', and 'Cancel'.

Policy Compliance Report Form

Violator's Name: _____

Email address: _____

Title: _____

Department: _____

Mail Station _____

Violation: ☒ Minor Violation ☐ Major Violation

Type of Violation: (choose from drop down box)

Branch Location: _____

Date of Occurrence: _____

Date of report: _____

Official reporting the incident: _____

Policy Administrator: _____

Additional details: _____

Ok Reset Cancel

> < MAIN MENU SEND PRINT EXIT

Figure 42

Policy Violation Code and Report

The claim you submitted has been assigned 885h34 as its reference code.

Encrypted email and surface mail copies of the policy violation claim report has been sent to:

- Jane Doe
- John Smith in Human Resources
- System Policy Administrator
- Virtual WorkSpace, LLC - a third party policy organization

> < MAIN MENU SEND PRINT EXIT

Figure 43

System Violation Notice	
Email and Snail Mail Notice	
Name:	Jane Doe
User Profile:	(Review Profile from drop down menu)
Violation Type:	Sent an email with confidential file attachment
Violation level:	Level 2
Branch Location:	Minneapolis
Time:	11:20 a.m.
Date:	May 20, 1998
CC:	Jsmith@Virt.com PolAdm@Virt.com Policy@virtualworkspace.com
File Attachments:	Scheduling and violation report
<p>The system indicates you have violated a virtual policy. Attached is a policy violation claim report for your review.</p> <p>We will need your assistance to investigate the claim to determine if it is indeed accurate and if it warrants further discussion. Please follow the procedures below:</p> <ul style="list-style-type: none">• Review the attached policy violation claim report• Review your User's Violation History file at http://www.uservi.com.• Indicate any discrepancies in any of the reports• Indicate your availability for an in-person follow up meeting <p>For further information click the user icon (User)</p> <p>All report and investigation information is automatically recorded in the system.</p> <p>Thank you for your cooperation.</p>	
<div>> < MAIN MENU SEND PRINT EXIT</div>	

Figure 44

Subsequent Action Report	
Name:	Jane Doe
Violation level:	Level 2
Branch Location:	Minneapolis
Time:	11:20 a.m.
Date:	May 20, 1998
CC:	Jsmith@Virt.com PolAdm@Virt.com Policy@virtualworkspace.com
File Attachments:	Subsequent Action Report
<p>Following the violation meeting, Human Resources and the user are required to file a subsequent meeting report to verify their attendance at the meeting.</p> <p>The report can be accessed by click the report icon Report</p> <p>If you have any additional questions or concerns, you may contact the Policy Administrator via email: PolAdm@Virt.com or by calling 555-1212.</p> <p>If you do not agree with the outcome of the meeting, you may file for an appeal. To begin the appeal process, click on the appeal icon Appeal</p>	
<div>> < MAIN MENU SEND PRINT EXIT</div>	

Figure 45

The Appeal Process


The Appeal Process grants the user due process, including the opportunity to respond to an alleged violation in writing. The user is given the option to choose an appeal facilitator from the organization.

The chosen facilitator is emailed and granted security and read-only access to a user's file. The facilitator is automatically copied on all appeal process communications. The system records the all communications and written activity.

Internal officers are automatically prompted and sent a notice to schedule the appeal meeting with the new facilitator. The process is reported, stored, and tracked in the policy effectiveness module.

The appeal report is automatically sent to:

- Policy Effectiveness
- The policy officer and the user via email
- The policy officer and the user via snail mail

The user is automatically sent information to inform him of his rights. To access further information, click on the appeal icon .

> < MAIN MENU SEND PRINT EXIT

Figure 46

Policy Effectiveness Reports
Compliance Reports

Enter access code:

Enter hardware token:

Choose report(s) to review:

- User/User profiles
- Network nodes
- Department
- Division
- Branch
- Application
- Time duration
- Timeframe based on:
 - Historical and statistical reports
 - Current
 - Year-to-date
 - Custom time frames
 - Other

> < MAIN MENU SEND PRINT EXIT

Figure 47

Policy Effectiveness Reports
Enterprise-Wide Reports

Enter access code:

Enter hardware token:

Choose report(s) to review:

- Policy compliance reports
- Risk assessment
- Strengths and weaknesses in policy compliance and non-compliance
- Email compliance reports
- Software compliance reporting
- Patterns, statistics and assessment of policy violations and non-compliance
- System backup reports
- Document tracking reports
- Audit and reconciliation reports

> < MAIN MENU SEND PRINT EXIT

Figure 48

Policy Effectiveness Action

Name:	SystemAdm@Virt.com
Violation level:	Level 2
Branch Location:	Minneapolis
Time:	11:20 a.m.
Date:	May 20, 1998
CC:	Network@Virt.com Policy@virtualworkspace.com
File Attachments:	Policy Effectiveness Action Report

Policy Effectiveness has implemented a policy change for personal email usage.

The new policy set the daily personal email usage at 35 messages vs. the previous 30 message limit. The personal email policy can be accessed at <http://www.policy/personalemail.com>

Appeal

> < MAIN MENU SEND PRINT EXIT

Figure 49

